



ATTORNEY'S ENTRY NO.: D7655-00002

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:  
Sean Egan

Group Art Unit: 2165

Examiner: Not Assigned

Serial No.: 10/010,102

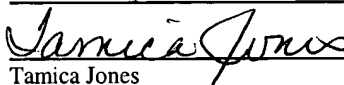
Filed: November 8, 2001

For: SYSTEM AND METHOD FOR ASSIGNING RATINGS TO MUTUAL FUNDS AND  
OTHER INVESTMENT FUNDS BASED ON THE VALUE OF VARIOUS FUTURE AND  
OPTION SECURITIES

Assistant Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being deposited with  
sufficient postage as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C., 20231 on:

March 1, 2002

  
Tamica Jones

**INFORMATION DISCLOSURE STATEMENT TRANSMITTAL LETTER**

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR. § 1.56 in  
connection with the above-identified application, which statement is being filed:

- ☐ Together with the present application.
- ☒ Before the first Office Action on the merits or three (3) months from the filing  
date of this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☐ After the first Office Action on the merits, but before a Final Office Action under  
§1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR §  
1.97(c)]

- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

- ☐ No separate requirements are needed.

- ☐ No additional fee is required.

☐ **Fee Under 37 CFR § 1.97(c)**

The fee of \$240.00 for submission of an IDS under § 1.97(c) as set forth in § 1.17(p) accompanies this statement.

☐ **Petition Under 37 CFR § 1.97(d)**

This is a petition requesting consideration of an IDS under § 1.97(d). The petition fee of \$130.00 set forth in § 1.17(i)(1) accompanies this petition.

☒ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☒ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this statement.

**Provision of Copies of References**

- ☐ A copy of each of the references listed on the attached Form PTO-1449 is enclosed herewith and forms a part hereof.

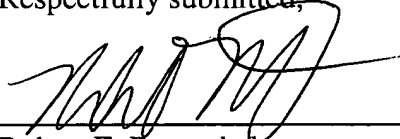
- ☐ A partial translation of Reference \_\_\_\_ is enclosed herewith and forms a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

- ☒ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s). **09/418,184** filed **10/12/99**. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:
- ☒ The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679. A duplicate copy of this transmittal is attached.

Date: March 1, 2002

Respectfully submitted,



Robert E. Rosenthal

Registration No. 33,450

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PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		Application Number	10/010,102
		Filing Date	November 8, 2001
		First Named Inventor	Sean Egan
		Group Art Unit	2165
		Examiner Name	Not Assigned
		Attorney Docket Number	D7655-00002
Sheet 1	of 2		

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
	1.	4,839,804		Roberts et al.	06-13-1989	
	2.	4,953,085		Atkins	08-28-1990	
	3.	5,126,936		Champion et al.	06-30-1992	
	4.	5,132,899		Fox	07-21-1992	
	5.	5,148,365		Dembo	09-15-1992	
	6.	5,222,019		Yoshino et al.	06-22-1993	
	7.	5,237,500		Perg et al.	08-17-1993	
	8.	5,471,575		Giansante	11-28-1995	
	9.	5,563,783		Stolfo et al.	10-08-1996	
	10.	5,799,287		Dembo	08-25-1998	
	11.	5,802,499		Sampson et al.	09-01-1998	
	12.	5,806,047		Hackel et al.	09-08-1998	
	13.	5,819,237		Garman	10-06-1998	
	14.	5,812,987		Luskin et al.	09-22-1998	
	15.	5,884,287		Edesess	03-16-1999	
	16.	5,887,243		Harvey et al.	03-23-1999	
	17.	5,915,209		Lawrence	06-22-1999	
	18.	6,078,904		Rebane	06-20-2000	

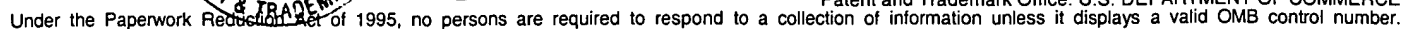
  

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				

Examiner		Date	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emporor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.



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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Examiner Signature		Date Considered	
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